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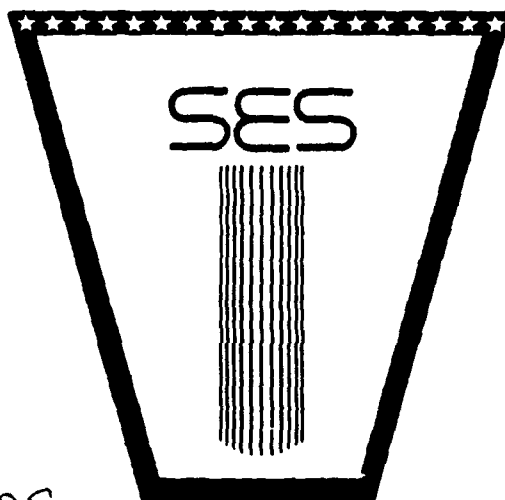


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# SENIOR EXECUTIVE SERVICE

## Executive Resources Boards

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Office of the Secretary of Defense, OSD Field Activities,  
Organization of the Joint Chiefs of Staff, the U.S. Court of  
Military Appeals, the U.S. Mission to NATO, and the Defense Agencies

MAY 1985

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DoD 1402.3-H

SENIOR EXECUTIVE SERVICE  
EXECUTIVE RESOURCES BOARDS

Senior Executive Service Handbook

Chapter 1



OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

COMPTROLLER

(Administration)

DoD 1402.3-H  
Chapter 1

FOREWORD

The Senior Executive Service Handbook is issued under the authority of DoD Directive 1402.3, "Administration of the Senior Executive Service Program in the Office of the Secretary of Defense and the Defense Agencies," August 16, 1984.

The purpose of this chapter is to provide information concerning Executive Resources Boards (ERBs) and their responsibilities in the conduct of the merit staffing process for career SES appointees, and the overall planning and management of agency executive development programs.

This chapter applies to the Office of the Secretary of Defense (OSD), DoD field activities, the Organization of the Joint Chiefs of Staff (OJCS), the Defense Agencies (except the National Security Agency/Central Security Service and the Defense Intelligence Agency), the Office of the Inspector General (OIG), the U.S. Court of Military Appeals (USCOMA), and the U.S. Mission to the North Atlantic Treaty Organization (NATO). In this chapter, the Defense Advanced Research Projects Agency (DARPA), Defense Audiovisual Agency (DAVA), and the Defense Security Assistance Agency (DSAA) shall be considered OSD Components rather than Defense Agencies.

This chapter is effective immediately, and its use is mandatory.

Send recommended changes through channels to the following:

SES and Classification Division  
Directorate for Personnel and Security  
Washington Headquarters Services  
Room 3B347, The Pentagon  
Washington, D.C. 20301-1155

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*D. O. Cooke*  
D. O. Cooke  
Deputy Assistant Secretary of Defense

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REFERENCE

- (a) Public Law 95-454, "Civil Service Reform Act of 1978," October 13, 1978

## CHAPTER 1

EXECUTIVE RESOURCES BOARDSA. GENERAL

Pub. L. 95-454 (reference (a)), requires that each agency establish one or more Executive Resources Boards, as appropriate, the members of which shall be appointed by the head of the agency from among employees of the agency. Additional information on the staffing process is included in Chapter 2, Executive Staffing.

B. ORGANIZATION AND FUNCTIONS

1. The OSD Executive Resources Board has cognizance over SES staffing and executive development functions within the Office of the Secretary of Defense, DoD field activities, the Office of the Inspector General, the U.S. Court of Military Appeals, the U.S. Mission to NATO, the Organization of the Joint Chiefs of Staff, and over civilian Defense Agency Director and Deputy Director positions (other than National Security Agency/Central Security Service and Defense Intelligence Agency). The Board consists of the following entities:

a. A Chair, designated by the Secretary of Defense, or the Deputy Secretary of Defense. This position is usually held by the Deputy Secretary of Defense during his or her tenure, but may be filled from among the Under Secretaries or Assistant Secretaries of Defense, as necessary. If filled other than by the Deputy Secretary, the term is for two years.

b. An Executive Secretary, responsible for planning and scheduling meetings, and providing administrative and technical support. The position is permanently held by the Director of Personnel and Security, Washington Headquarters Services (WHS). Duties may be redelegated as necessary.

c. An Executive Committee, which functions primarily in a general program oversight capacity and provides advice and recommendations to the Secretary of Defense. The committee is also responsible for affirmative action planning with respect to SES policies, plans, programs, and procedures.

d. An Executive Development Committee, which oversees the administration of SES executive development policies, plans, and programs and provides advice and recommendations to the Secretary of Defense regarding long-range needs and problems and related procedures or activities.

e. A Merit Staffing Committee, which reviews and evaluates all competitive staffing efforts associated with recruitment for SES vacancies, and assures equity and adequacy of affirmative action recruitment processes. The committee is expected to:

- (1) Review the technical and executive qualifications of each candidate for a position to be filled competitively by a career appointee.
- (2) Ensure the adequacy of the minority/female recruitment effort.
- (3) Conduct interviews of candidates recommended for referral, if desired.
- (4) Validate or modify and approve referral certificates proposed by Technical Evaluation Panels. (See Appendix A.)

For information on operating procedures see Appendix B.

2. The Inter-Defense Agency Executive Resources Board (IDA ERB) has cognizance over SES positions below the level of Agency Director and Deputy Director in the Defense Communications Agency (DCA), Defense Contract Audit Agency (DCAA), Defense Investigative Service (DIS), Defense Legal Services Agency (DLSA), Defense Logistics Agency (DLA), Defense Mapping Agency (DMA), and Defense Nuclear Agency (DNA). The IDA ERB consists of the following entities:

a. A Chair, designated biennially by the Secretary of Defense, or the Deputy Secretary of Defense, from among the Directors, Deputy Directors, Vice-Directors, or senior civilian SES members of the Defense Agencies.

b. An Executive Secretary, responsible for planning, scheduling, paperwork, and procedural tasks. This position is always held by the Director of Personnel or equivalent of the Defense Agency providing the Board Chair. Functions may be redelegated to staff members as necessary. In cases where incumbent is not a member of the SES, the Executive Secretary will serve on an adjunct basis only and will not participate in decisions concerning the evaluation of candidates for SES positions, recommending best-qualified candidates to selecting officials, or similar functions such as selecting candidates for executive development programs that lead to the SES.

c. An Executive Committee, responsible for general program oversight, and providing advice and recommendations to the Chair.

d. Ad Hoc Merit Staffing Committees, composed of three or more IDA ERB members approved by the IDA ERB Chair (or his or her designee). They are responsible for: assuring the adequacy of the minority/female recruiting effort and, if Technical Evaluation Panels (TEPs) are not utilized, for performing the actual review of qualifications of candidates for SES positions to be filled competitively by career appointments. This includes rating applicants, interviewing if appropriate, and preparing a written report to the Director of the Agency having the vacancy concerning the candidates considered in the best-qualified group. For information on operating procedures see Appendix C. Agencies desiring to use TEP procedures modeled after those used by OSD must develop guidelines and have them approved by the Directorate for Personnel and Security, WHS.

## C. MEMBERSHIP

1. Qualifications. Both ERB's require that members be career or noncareer SES members, Presidential appointees, or commissioned officers of the uniformed services serving on active duty at the O-7 level or above, within the Boards' jurisdictions. However, in order to provide continuity, institutional memory, and a balanced perspective, there should be at least some career membership.

### 2. Designation of Members

#### a. OSD Executive Resources Board

(1) Nominations for the Executive Committee, the Executive Development Committee, and the Merit Staffing Committee are solicited biennially from OSD Component Heads. Members are appointed by the Secretary of Defense. Members should, when possible, be designated from among top line management officials with responsibility for a major portion of the department or agency budget and significant numbers of the organization's SES positions; they must be either members of the Senior Executive Service, Presidential appointees, or commissioned officers of the uniformed services serving on active duty at the O-7 level or above. In an effort to assure that membership is representative of the SES population, major components are urged to nominate replacement members in proportion to their SES members.

(2) Additional ad hoc panels or subcommittees may be established by the Board or Committee Chairs as needed, to carry out functions of the Board not already assigned.

b. Inter-Defense Agency Executive Resources Board. The membership of the IDA ERB consists of all Senior Executive Service employees and all commissioned officers of the uniformed services serving on active duty, at the O-7 level or above in the DCA, DCAA, DIS, DLA, DLSA, DMA, and DNA. Members are appointed by the Secretary of Defense. The Executive Committee has a minimum of one representative from each of the agencies. The remainder of the membership is called upon by the IDA ERB Chair or his or her designee to function in various capacities. Primarily however, they serve on ERB ad hoc Merit Staffing Committees (consistent with B.2.e.).

### 3. Term of Appointment

a. OSD Executive Resources Board. Members are appointed for two-year terms. For purposes of continuity, replacement members begin new two-year terms.

b. Inter-Defense Agency Executive Resources Board. Membership includes all SES members and all military officers at the O-7 level or above. The term of appointment is indefinite.

## D. EXECUTIVE RESOURCES BOARD RESPONSIBILITIES

The OSD and IDA Executive Resources Boards function in both advisory and oversight capacities and participate in such activities as:

1. The merit staffing process (selections, determination of procedures).

2. Executive development (approval of Individual Development Plans (IDP's), approval of sabbatical planning, Candidate Development Program parameters).

3. Affirmative action planning and review.

4. General SES policy determination.



## APPENDIX A

### Office of the Secretary of Defense Technical Evaluation Panel Guidelines

#### Membership

The Technical Evaluation Panel (TEP) is composed of at least three SES members, or their equivalents, who are knowledgeable in the functions assigned to the vacant position. It is noted that the military equivalent to SES is normally considered to be O7 or above. TEP members are nominated by the immediate supervisor of the vacant position. Nominations are reviewed by an SES Division Specialist for adherence to the following criteria: only one individual may be nominated from within the organization having the vacancy (e.g., ASD or field activity), and he or she may not have a supervisory relationship to the vacant position. The selecting official also designates one TEP member as Chair.

#### Responsibilities

1. The Technical Evaluation Panel is responsible for: (a) providing technical support to the Merit Staffing Committee, OSD Executive Resources Board in the evaluation of applicants for SES positions and (b) recommending certification of a group of best qualified candidates.

2. The Chair is responsible for: (a) overseeing the entire evaluation process, (b) resolving disparities arising among the individual ratings awarded by panel members so that the TEP may arrive at a consensus rating, and (c) preparation of written recommendations to the Merit Staffing Committee, OSD Executive Resources Board. Panel members are not to disclose any information during or following the rating process unless the information is requested in accordance with established procedures regarding inquiries to the Executive Resources Board.

#### Evaluation Process

If there are a large number of applicants, these procedures may be modified in order to facilitate the evaluation process. Modifications will be provided by the SES Division Specialist.

##### Step 1 - Evaluation Criteria

The TEP will be provided with a statement of the essential (mandatory) and desirable qualifications criteria covering the technical and managerial requirements. The TEP will informally discuss benchmarks for the different rating levels. If a crediting plan has been developed, it will be provided to the Panel.

## Step 2 - Essential Elements

(a) Review each applicant's SF-171, supervisory appraisal, and supplemental candidate statement against the essential qualifications criteria outlined on the evaluation sheet. (The SES Division Specialist will have made a preliminary screening of applications to help identify those applicants who obviously fail to meet the essential criteria.) If a candidate is rated unacceptable on any essential factor, he or she is ineligible and will not be considered further. In such cases, the TEP will insure that comments are made on the unqualified applicant's evaluation sheet sufficient to support the rating. A Not Qualified (NQ) rating is assigned on the last page of the evaluation sheet, and the page is signed and dated by all TEP members.

(b) Assign an adjective rating (i.e., Superior, Very Good, Acceptable or Unacceptable) for each essential element.

(c) Specific comments must be made in the space provided on the evaluation sheet to support the assigned rating for each essential element. These comments are of critical importance, as they will be used later in the preparation of recommendations, and/or to reply to applicant inquiries. Statements such as "evident from SF-171" should be avoided.

## Step 3 - Desirable Elements

Proceed to evaluate applicants against the desirable qualifications criteria.

(a) Review each applicant's SF-171, supervisory appraisal, and supplemental candidate statement against the desirable qualifications criteria outlined on the evaluation sheet.

(b) Assign an adjective rating (i.e. Superior, Very Good, Acceptable, or Unacceptable) for each desirable element.

(c) Specific comments must be made in the space provided on the evaluation sheet to support the assigned rating for each desirable element for the reasons stated above.

## Step 4 - Optional Supplementary Information

The panel may decide it needs supplementary information to complete the rating process. The Washington Headquarters Services Personnel staff is available to assist the panel or to provide guidance in obtaining additional information. Supplementary information obtained by the panel directly from an applicant, his or her supervisor, or from other sources must be fully documented in a Memorandum for the Record. The memorandum must show what information was obtained, how the information was obtained (phone, letter, questionnaire, etc.), from whom (applicant, supervisor, reference, other source), and when and why it was obtained. Copies of written inquiries and written responses obtained by the panel must also be provided for the record. The supplementary information will be considered in the rating process as part of the SF-171 or the supervisory appraisal as appropriate.

### Step 5 - Overall Earned Rating

Consider the ratings assigned for the essential and desirable criteria and assign an overall earned rating of Superior, Very Good, Acceptable, or Not Qualified as shown below. If an applicant was rated unacceptable on any essential criterion, his or her overall earned rating is Not Qualified.

#### Determination of Overall Earned Rating

Superior (S): All ratings superior or very good with a majority of superior ratings. In the event of an even number in both categories, a majority of essential criteria is rated superior.

Very Good (VG): No rating below acceptable. Majority of ratings are superior and/or very good.

Acceptable (A): No rating below acceptable on essential criteria. Does not meet criteria for (S) or (VG).

Not Qualified (NQ): Rating below acceptable on any essential criterion.

### Step 6 - Final Ratings of Candidates

When all the applicants have been rated by each panel member, the panel should meet as a body. The panel must unanimously agree on the disqualification of any candidate. In addition, the panel as a whole should determine the element ratings and final rating of each candidate, as well as the rationale for the final rating. One SES candidate evaluation sheet will be prepared for each candidate rated, and it will be made a part of the official case file. This sheet must be signed by each panel member. Individual panelist's rating sheets should be destroyed.

### Step 7 - Recommendation of Candidates

Prepare a memorandum to the Chair of the Merit Staffing Committee, OSD Executive Resources Board, through the Director of Personnel and Security, WHS, recommending the best qualified candidates in the judgment of the TEP, to be certified for referral to the selecting official. Candidates are listed in alphabetical order without any notation of relative ranking within the group. The TEP's written recommendations should include (or provide in a separate attachment) a brief analysis of the background of each best qualified candidate and the rationale for the final rating and recommendation. This analysis, in conjunction with the candidate evaluation sheets, must be sufficiently thorough to allow the Merit Staffing Committee to act on the case. In addition, the memorandum should include a summary of the minority/female candidates who applied, if any, and how they were rated (e.g., no identifiable minority candidates applied; two identifiable female candidates applied, with one rated Superior and one rated Very Good.). As a

general rule, no more than ten best qualified candidates should be recommended for certification.

Step 8 - Final Disposition of Material

Assemble all the material including original SF-171s, supervisory appraisal forms, supplemental candidate statements, consolidated evaluation sheets, consolidated summary sheet of ratings, supplementary information obtained (if any), and the memorandum to the Chair of the Merit Staffing Committee, OSD Executive Resources Board. The evaluation sheets of individual TEP members should be destroyed. Submit this material to the SES and Classification Division.

SAMPLE

SES CANDIDATE EVALUATION SHEET

Position Title: \_\_\_\_\_

JOA# \_\_\_\_\_

Applicant's Name \_\_\_\_\_

ESSENTIAL (MANDATORY) TECHNICAL QUALIFICATIONS CRITERIA <sup>1</sup>	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA <sup>2</sup>
1. Knowledge of the organization and operation of the government, e.g., OSD, Defense Agencies, Military Services, Joint Chiefs of Staff, National Security Agency, Federal Emergency Management Agency, National Communications System, and Central Intelligence Agency.	Superior knowledge of operation and organization of the Federal Government due to extensive IDA studies in the strategic areas and due to personal involvement with the NIH regarding the national atomic test program.	S
2. Knowledge of the characteristics and capabilities of the WWMCCS.	Extensive and original research and analysis at IDA over the past 18 years regarding WWMCCS, strategic C <sup>3</sup> , nuclear weapons, and operations. Many IDA reports and papers. Considered an authority in this field.	S

<sup>1</sup>If rating for any essential (mandatory) factor is less than A, candidate is ineligible; do not consider applicant further.

<sup>2</sup>Rating: S - Superior  
 VG - Very Good  
 A - Acceptable  
 UA - Unacceptable

SAMPLE

SES CANDIDATE EVALUATION SHEET - CONTINUED

ESSENTIAL (MANDATORY) TECHNICAL QUALIFICATIONS CRITERIA <sup>1</sup>	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA <sup>2</sup>
3. Ability to conceive the fashion in which the effects of disaster events threaten the continuity of government.	Extensive and original research and analysis at IDA over the past 18 years regarding WWMCCS, strategic C <sup>3</sup> , nuclear weapons and operations.	S
4. Capability to design and analyze alternative C <sup>3</sup> systems.	Extensive and original research and analysis at IDA over the past 18 years regarding WWMCCS, strategic C <sup>3</sup> , nuclear weapons, and operations. Many IDA reports and papers. Considered an authority in this field.	S

<sup>1</sup>If rating for any essential (mandatory) factor is less than A, candidate is ineligible; do not consider applicant further.

<sup>2</sup>Rating: S - Superior  
VG - Very Good  
A - Acceptable  
UA - Unacceptable

SAMPLE

SES CANDIDATE EVALUATION SHEET - CONTINUED

ESSENTIAL (MANDATORY) MANAGERIAL QUALIFICATIONS CRITERIA <sup>1</sup>	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA <sup>2</sup>
1. Ability to see that key national and agency-wide goals, priorities, values and other issues are taken into account in carrying out the responsibilities of the immediate work unit.	Involvement and experience in key strategic issues and areas at AEC and IDA have involved consideration and implementation of national and agency goals and priorities.	S
2. Ability to maintain relationships with key individuals and groups outside the immediate work unit and serve as spokesperson for one's unit and organization.	Research and analysis at IDA have required extensive personal liaison with key Federal individuals and groups.	VG
3. Ability to establish goals and the structure and processes necessary to carry them out.	Successful completion of numerous IDA and AEC studies and reports plus personal involvement with Defense Science Board.	VG
4. Ability to obtain and allocate resources necessary to support programs or policy implementations.	Successful completion of numerous IDA and AEC studies and reports plus personal involvement with Defense Science Board.	VG

<sup>1</sup>If rating for any essential (mandatory) factor is less than A, candidate is ineligible; do not consider applicant further.

<sup>2</sup>Rating: S - Superior  
VG - Very Good  
A - Acceptable  
UA - Unacceptable

SAMPLE

SES CANDIDATE EVALUATION SHEET - CONTINUED

DESIRABLE TECHNICAL QUALIFICATIONS CRITERIA	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA
1. Knowledge of the Department of Defense Planning, Programming and Budgeting System.	Exposure to and familiarity with DoD PPBS due to close involvement with JCS and OSD. Demonstrated capability to learn the system as needed.	VG

DESIRABLE MANAGERIAL QUALIFICATIONS CRITERIA

1. Ability to see that people are appropriately employed and dealt with fairly and equitably.	General experience at IDA and AEC in managing complex projects. Demonstrated concern over people problems.	VG
2. Ability to see that plans are being implemented.	Extensive general project management and implementation experience at IDA.	S

OVERALL RATING: Superior

PANEL MEMBERS' SIGNATURES \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Date: \_\_\_\_\_



SAMPLE  
CONSOLIDATED SUMMARY RATING SHEET

Candidates	Final Overall Rating
Robert Brown	A
Paul Downs	S
Albert Green	UA
Susan Johnson	VG
Mary Jones	S
Thomas Moore	VG
Arthur Newman	S
John Sanchez	S
William Smith	VG
James Walker	A

SAMPLE

DoD 1402.3-H  
Chapter 1

MEMORANDUM FOR THE CHAIRPERSON, MERIT STAFFING COMMITTEE, OSD  
EXECUTIVE RESOURCES BOARD  
Through: Director, Personnel and Security, WHS  
SUBJECT: Best Qualified Candidates - Director, XYZ

The Technical Evaluation Panel for this position, comprised of Mr. \_\_\_\_\_ of \_\_\_\_\_, Ms. \_\_\_\_\_ of \_\_\_\_\_, and the undersigned, has completed its review of the applicants. A copy of the Consolidated Summary Rating Sheet is attached.

We are unanimous in our judgment that Paul Downs, Mary Jones, Arthur Newman, and John Sanchez, should receive overall ratings of superior. These individuals clearly stand above the other applicants. We recommend, therefore, that they be referred for consideration to the selecting official.

Mr. Downs is currently serving as \_\_\_\_\_ in the XYZ Directorate. He has served in this capacity for the past nine years. He has 33 years of experience, both military and civilian, in intelligence and counterintelligence, and investigations, during which time he has demonstrated a high degree of technical competence in these fields. He has had significant exposure to the Congressional authorization and appropriation process and is knowledgeable of Executive Branch issuances and DoD implementations covering intelligence.

Ms. Jones is currently serving as \_\_\_\_\_ in the Directorate for XLU. She has served in this position for a little over four years and has the responsibility for the development and promulgation of DoD policies that control the conduct of personnel security investigations for all DoD civilian, military, and industrial personnel. For the past 25 years, she has gained a great deal of experience in counterintelligence and investigative programs. Her record shows a high degree of excellence in executive and program management skills and an outstanding ability to function effectively in a policy development role. The quality of her past performance is evidenced by the formal recognition she has received from current and former supervisors. Her greatest strength is in investigative programs, and she demonstrates a high degree of ability in resource management.

Mr. Newman is currently assigned as the \_\_\_\_\_ . He has had 20 years of operational and management field experience and ten years senior management service at the Headquarters level. He has had extensive and well-balanced experience in both counterintelligence and investigative activities within and outside of DoD. He is highly knowledgeable of the Congressional authorization and appropriation process and of

Executive Branch issuances and DoD implementations covering intelligence programs. The high quality of his work is substantiated by his many honors and awards. These also attest to his outstanding ability to innovate and persevere.

Mr. Sanchez is currently assigned as \_\_\_\_\_ in the Office of XLO. He has been assigned to this post since 1974. As the senior counterintelligence expert in XLO, he is responsible for counterintelligence policy, planning, and production for the agency. For over 20 years he has been closely associated with counterintelligence and investigative activities in the Department of Defense. Although heavily oriented toward counterintelligence activities, his experience in this investigative field is extensive. He has demonstrated excellent technical competence in both areas as well as outstanding executive and program management skills. He shows a high degree of ability to function in a policy development role. The high quality of his work is substantiated by the outstanding performance awards he has received over the years.

Two female candidates applied. One was accorded an overall rating of Very Good, and the other was rated Superior. One applicant appears to be of Hispanic origins and is included among the four top candidates recommended for referral to the selecting official.

Individual rating sheets, applications, and related materials are attached..

Attachments

\_\_\_\_\_  
(Name) , Chair  
Technical Evaluation Panel

## APPENDIX B

Office of the Secretary of Defense  
Executive Resources Board  
Merit Staffing Committee  
Operating Procedures

### Purpose

To review and evaluate all competitive staffing efforts associated with recruitment for SES vacancies.

### Responsibilities

- (1) Review the technical and executive qualifications of each candidate for a position to be filled competitively by a career appointee.
- (2) Ensure adequacy of the minority/female recruitment effort.
- (3) Conduct interviews of candidates recommended for referral, if desired.
- (4) Validate or modify and approve referral certificates proposed by Technical Evaluation Panels (TEPs).

### Procedures

- (1) The Directorate for Personnel and Security will prepare a Certificate of Eligibles based upon the recommendations of the Chair of the TEP.
- (2) The Certificate of Eligibles, together with the recommendations of the Chair of the TEP, the statement of affirmative action by the Deputy Assistant Secretary or equivalent having the vacancy, the recruitment plan, the qualifications standard, and the original applications and evaluation forms (referred candidates' applications and evaluation forms on top) will be handcarried to the three Merit Staffing Committee members designated to serve on a specific case.
- (3) Each of the three designated Merit Staffing Committee members will sign the Certificate of Eligibles. If a Committee member does not agree with the recommendations of the Chair of the TEP, he or she will document the area(s) of disagreement (i.e., questions regarding the rating and ranking, lack of information, or questions regarding the number of applicants referred) in a memorandum to the Chief of the SES and Classification Division, WHS, and forward all of the material to the other two Committee members for consideration.

(4) The Merit Staffing Committee is responsible for determining the adequacy of the minority/female recruitment effort.

(5) The Merit Staffing Committee Chair will convene a meeting of members assigned to a particular case to reconcile differing views.

(6) The WHS personnel representative handling the case will be available to answer questions from the committee members.

(7) The Merit Staffing Committee Chair may call meetings at his or her discretion to review committee operations.

## APPENDIX C

### Inter-Defense Agency Executive Resources Board (IDA ERB) SES Candidate Evaluation Guidelines

#### Membership

Ad hoc Merit Staffing Committees selected from among the Inter-Defense Agency Executive Resources Board (IDA ERB) are composed of at least three SES members or commissioned officers of the uniformed services serving on active duty, at the O-7 level or above, at least one of whom is knowledgeable in the functions assigned to the vacant position and at least one of whom must be a career appointee. Merit Staffing Committee members who perform actual rating processes must be nominated by the agency having the vacant position, and they are approved by the Chair, IDA ERB, who reviews proposed membership according to the following criteria: one individual must be nominated from another Defense Agency, and members may not have an immediate supervisory relationship to the vacant position. The Defense Agency with the vacancy also designates one member as Chair.

#### Responsibilities

1. The ad hoc Merit Staffing Committees: (a) assure the adequacy of female/minority recruitment efforts, (b) evaluate applicants for SES positions, and (c) recommend certification of a group of best-qualified candidates to the selecting official.
2. Ad hoc Committee Chair is responsible for: (a) overseeing the evaluation process, (b) resolving disparities arising among the individual ratings awarded by members so that the group may arrive at a consensus rating, and (c) preparing written recommendations to the selecting official.
3. Members are responsible for completing one evaluation sheet on each applicant and, together with the Chair, are responsible for recommending the best-qualified candidates. Members are not to disclose any information during or following the rating process unless the information is requested in accordance with established procedures (reference Chapter 2, Section F of this handbook) regarding inquiries to the ERB.
4. The Agency having the vacancy is responsible for recruiting for the position, obtaining evaluations of candidates, and preparing a memorandum for the Chair of the ad hoc Merit Staffing Committee stating affirmative action taken in seeking candidates, including positive efforts on the part of management officials to locate qualified females and minorities. The ad hoc Merit Staffing Committee is responsible for determining the adequacy of the minority/female recruitment effort.

## Evaluation Process:

### Step 1 - Evaluation Criteria

The ad hoc Merit Staffing Committee will be provided with a statement of the essential (mandatory) and desirable qualifications criteria covering the technical and managerial requirements. The ad hoc committee will informally discuss benchmarks for the different rating levels. If a crediting plan has been developed, it will be provided to the ad hoc committee.

### Step 2 - Essential Elements

(a) Review each applicant's SF-171, supervisory appraisals, and supplemental candidate statements against the essential qualifications criteria outlined on the evaluation sheet. The Personnel Office Specialist assigned will have made a preliminary screening of the applications to help identify those applicants who obviously fail to meet the essential criteria. If a candidate is rated unacceptable on any essential factor, he or she is ineligible and will not be considered further. In such cases, the committee will insure that comments are made on the unqualified applicant's evaluation sheet sufficient to support the rating. A Not Qualified (NQ) rating is assigned on the last page of the evaluation sheet, and the page is signed and dated by all ad hoc committee members.

(b) Assign an adjective rating (i.e., Superior, Very Good, Acceptable or Unacceptable) for each essential element.

(c) When a crediting plan has not been developed, specific comments must be made in the space provided on the evaluation sheet to support the assigned rating for each essential element. These comments are of critical importance, as they will be used later in the preparation of recommendations, and/or to reply to applicant inquiries.

Step 3 - Desirable Elements: Proceed to evaluate applicants against the desirable qualifications criteria.

(a) Review each applicant's SF-171, supervisory appraisal, and supplemental candidate statement against the desirable qualifications criteria outlined on the evaluation sheet.

(b) Assign an adjective rating (i.e., Superior, Very Good, Acceptable, or Unacceptable) for each desirable element.

(c) When a crediting plan has not been developed, specific comments must be made in the space provided on the evaluation sheet to support the assigned rating for each desirable element for the reasons stated above.

### Step 4 - Optional Supplementary Information

The ad hoc committee may decide it needs supplementary information to complete the rating process. The personnel staff of the agency with the vacancy is available to assist the committee or to provide guidance in

obtaining additional information. Supplementary information obtained by the committee directly from an applicant, his or her supervisor or from other sources must be fully documented in a Memorandum for the Record. The memorandum must show what information was obtained, how the information was obtained (phone, letter, questionnaire, interview, etc.), from whom (applicant, supervisor, reference, other source), and when and why it was obtained. Copies of written inquiries and written responses obtained by the committee must also be provided for the record. The supplementary information will be considered in the rating process as part of the SF-171 or the supervisory appraisal as appropriate.

#### Step 5 - Overall Earned Rating

Consider the ratings assigned for the essential and desirable criteria and assign an overall earned rating of Superior, Very Good, Acceptable, or Not Qualified as shown below. If an applicant was rated unacceptable on any essential criterion, his or her overall earned rating is Not Qualified.

##### Determination of Overall Earned Rating

Superior (S): All ratings superior or very good with a majority of superior ratings. In the event of an even number in both categories, the candidate must have superior ratings in a majority of essential criteria.

Very Good (VG): No rating below acceptable. Majority of ratings are superior and/or very good.

Acceptable (A): No rating below acceptable on essential criteria. Does not meet criteria for (S) or (VG).

Not Qualified (NQ): Rating below acceptable on any essential criterion.

#### Step 6 - Final Ratings of Candidates

When all the applicants have been rated by each committee member, the group should meet as a body. The committee must unanimously agree on the disqualification of any candidate. In addition, the committee as a whole should determine the element ratings and final earned ratings of each candidate, as well as the rationale for the final rating. One SES candidate evaluation sheet will be prepared for each candidate, and it will be made a part of the official case file. This sheet must be signed by each committee member. Individual panelist's rating sheets should be destroyed.

#### Step 7 - Recommendation of Candidates

The Chair of the ad hoc committee prepares a written report to the head of the agency having the vacancy, recommending in alphabetical order the best-qualified candidates in the judgment of the group. The agency will follow internal procedures for selecting a candidate. Written recommendations should include a brief history of each action and include (or provide in a separate attachment) a brief analysis of the background of the



best-qualified candidate and the rationale for the final rating and recommendation. This analysis must be sufficiently thorough to allow the selecting official to act on the case. In addition, the memorandum should include a summary of the minority/female candidates who applied, if any, and how they were rated (e.g., two identifiable female or minority candidates applied, with one rated superior and one rated very good). No more than 10 best-qualified candidates should be recommended for certification unless a meaningful distinction cannot be made. A copy of this report will be forwarded to the Executive Secretary of the IDA ERB.

#### Step 8 - Final Disposition of Material

Assemble all the material including original SF-171s, supervisory appraisal forms, supplemental candidate statements, consolidated evaluation sheets, consolidated summary sheet of ratings, supplementary information obtained (if any), the memorandum on affirmative action, and the memorandum to the agency head. The evaluation sheets of individual committee members should be destroyed. Submit this material to the personnel office of the agency having the vacancy.

#### Step 9 - Obtaining Approval

The agency Director of Personnel will prepare a memorandum for signature of the Director of the Defense Agency to the Deputy Assistant Secretary of Defense (Administration), recommending approval of the agency selection. The memorandum will include the reasons for the selection and a recommendation on the initial salary level. (See Section D.1. of Chapter 3).

SAMPLE

SES CANDIDATE EVALUATION SHEET

Position Title: \_\_\_\_\_

JOA# \_\_\_\_\_

Applicant's Name \_\_\_\_\_

ESSENTIAL (MANDATORY) TECHNICAL QUALIFICATIONS CRITERIA <sup>1</sup>	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA <sup>2</sup>
1. Knowledge of the organization and operation of the government e.g., OSD, Defense Agencies, Military Services, Joint Chiefs of Staff, National Security Agency, Federal Emergency Management Agency, the National Communications System, and the Central Intelligence Agency.	Superior knowledge of operation and organization of the Federal Government due to extensive IDA studies in the strategic areas and due to personal involvement with the NIH regarding the national atomic test program.	S
2. Knowledge of the characteristics and capabilities of the WWMCCS.	Extensive and original research and analysis at IDA over the past 18 years regarding WWMCCS, strategic C <sup>3</sup> , nuclear weapons, and operations. Many IDA reports and papers. Considered an authority in this field.	S

<sup>1</sup>If rating for any essential (mandatory) factor is less than A, candidate is ineligible; do not consider applicant further.

<sup>2</sup>Rating: S - Superior  
 VG - Very Good  
 A - Acceptable  
 UA - Unacceptable

SAMPLE

SES CANDIDATE EVALUATION SHEET - CONTINUED

ESSENTIAL (MANDATORY) TECHNICAL QUALIFICATIONS CRITERIA <sup>1</sup>	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA <sup>2</sup>
3. Ability to conceive the fashion in which the effects of disaster events threaten the continuity of government.	Extensive and original research and analysis at IDA over the past 18 years regarding WWMCCS, strategic C <sup>3</sup> , nuclear weapons and operations. Experience at AEC studying the effects of nuclear war.	S
4. Capability to design and analyze alternative C <sup>3</sup> systems.	Extensive and original research and analysis at IDA over the past 18 years regarding WWMCCS, strategic C <sup>3</sup> , nuclear weapons, and operations. Many IDA reports and papers. Considered an authority in this field.	S

<sup>1</sup>If rating for any essential (mandatory) factor is less than A, candidate is ineligible; do not consider applicant further.

<sup>2</sup>Rating: S - Superior  
 VG - Very Good  
 A - Acceptable  
 UA - Unacceptable

SAMPLE

SES CANDIDATE EVALUATION SHEET - CONTINUED

ESSENTIAL (MANDATORY) MANAGERIAL QUALIFICATIONS CRITERIA <sup>1</sup>	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA <sup>2</sup>
1. Ability to see that key national and agency-wide goals, priorities, values and other issues are taken into account in carrying out the responsibilities of the immediate work unit.	Involvement and experience in key strategic issues and areas at AEC and IDA have involved consideration and implementation of national and agency goals and priorities.	S
2. Ability to maintain relationships with key individuals and groups outside the immediate work unit and serve as spokesperson for one's unit and organization.	Research and analysis at IDA have required extensive personal liaison with key Federal individuals and groups.	VG
3. Ability to establish goals and the structure and processes necessary to carry them out.	Successful completion of numerous IDA and AEC studies and reports plus personal involvement with Defense Science Board.	VG
4. Ability to obtain and allocate resources necessary to support programs or policy implementations.	Successful completion of numerous IDA and AEC studies and reports plus personal involvement with Defense Science Board.	VG

<sup>1</sup>If rating for any essential (mandatory) factor is less than A, candidate is ineligible; do not consider applicant further.

<sup>2</sup>Rating: S - Superior  
VG - Very Good  
A - Acceptable  
UA - Unacceptable

SAMPLE

SES CANDIDATE EVALUATION SHEET - CONTINUED

DESIRABLE TECHNICAL QUALIFICATIONS CRITERIA	SPECIFIC COMMENTS IN SUPPORT OF RATING ASSIGNED (REQUIRED)	RATING: S, VG, A, UA
1. Knowledge of the Department of Defense Planning, Programming and Budgeting System.	Exposure to and familiarity with DoD PPBS due to close involvement with JCS and OSD. Demonstrated capability to learn the system as needed.	VG

DESIRABLE MANAGERIAL QUALIFICATIONS CRITERIA

1. Ability to see that people are appropriately employed and dealt with fairly and equitably.	General experience at IDA and AEC in managing complex projects. Demonstrated concern over people problems.	VG
2. Ability to see that plans are being implemented.	Extensive general project management and implementation experience at IDA.	S

OVERALL RATING: Superior

PANEL MEMBERS' SIGNATURES \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

SAMPLE  
CONSOLIDATED SUMMARY RATING SHEET

Candidates	Final Overall Rating
Robert Brown	A
Paul Downs	S
Albert Green	UA
Susan Johnson	VG
Mary Jones	S
Thomas Moore	VG
Arthur Newman	S
John Sanchez	S
William Smith	VG
James Walker	A

SAMPLE

DoD 1402.3-H  
Chapter 1

MEMORANDUM FOR THE DIRECTOR \_\_\_\_\_ AGENCY  
Through: Director of Personnel

SUBJECT: Best Qualified Candidates - Director XYZ

A Merit Staffing Committee comprised of Mr. \_\_\_\_\_ of \_\_\_\_\_, Ms. \_\_\_\_\_ of \_\_\_\_\_, and the undersigned, has completed its review of the applicants for the subject position. A copy of the Consolidated Summary Rating Sheet is attached.

We are unanimous in our judgment that Paul Downs, Mary Jones, Arthur Newman, and John Sanchez should receive overall ratings of superior. These individuals clearly stand above the other applicants. They are mentioned in alphabetical rather than preferential order. We recommend that they be referred for consideration to the selecting official.

Mr. Downs is currently serving as \_\_\_\_\_ in the XYZ Directorate. He has served in this capacity for the past nine years. He has 33 years of experience, both military and civilian, in intelligence and counterintelligence, and investigations, during which time he has demonstrated a high degree of technical competence in these fields. He has had significant exposure to the Congressional authorization and appropriation process and is knowledgeable of Executive Branch issuances and DoD implementations covering intelligence activities.

Ms. Jones is currently serving as \_\_\_\_\_ in the Directorate of XLU. She has served in this position for a little over four years and has the responsibility for the development and promulgation of DoD policies that control the conduct of personnel security investigations for all DoD civilian, military, and industrial personnel. For the past 25 years, she has gained a great deal of experience in counterintelligence and investigative programs. Her record shows a high degree of excellence in executive and program management skills and an outstanding ability to function effectively in a policy development role. The quality of her past performance is evidenced by the formal recognition she has received from current and former supervisors. Her greatest strength is in investigative programs, and she demonstrates a high degree of ability in resource management.

Mr. Newman is currently assigned as the \_\_\_\_\_. He has had 20 years of operational and management field experience and ten years senior management service at the Headquarters level. He has had extensive and well-balanced experience in both counterintelligence and investigative activities within and outside of DoD. He is highly knowledgeable of the Congressional authorization and appropriation process and of Executive Branch issuances and DoD implementations covering intelligence programs.

The high quality of his work is substantiated by his many honors and awards. These also attest to his outstanding ability to innovate and persevere.

Mr. Sanchez is currently assigned as \_\_\_\_\_ in the Office of XLO. He has been assigned to this post since 1974. As the senior counterintelligence expert in XLO, he is responsible for counterintelligence policy, planning, and production for the agency. For over 20 years he has been closely associated with counterintelligence and investigative activities in the Department of Defense. Although heavily oriented toward counterintelligence activities, his experience in the investigative field is extensive. He has demonstrated excellent technical competence in both areas as well as outstanding executive and program management skills. He shows a high degree of ability to function in a policy development role. The high quality of his work is substantiated by the outstanding performance awards he has received over the years.

Two female candidates applied. One was accorded an overall rating of Very Good, and the other was rated Superior. One applicant appears to be of Hispanic origins and is included among the four top candidates suggested for referral to the selecting official.

Individual rating sheets, applications, and related materials are attached.

\_\_\_\_\_  
(Name) \_\_\_\_\_, Chair  
Merit Staffing Committee  
IDA ERB

Attachments